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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 4202.1

First Inventor

Scott E. Budge; Qun Gu

Title

Method For Image Coding By Rate-Distortion Adaptive Zero-tree-Based  
Residual Vector Quantization and System for Effecting Same

Express Mail Label No.

EL700252935US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **30**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **11**]
5. Oath or Declaration [Total Pages **2**]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of  
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

24247

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Paul C. Oestreich

Registration No. (Attorney/Agent)

44,983

Signature

Date

12/18/00

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 640.00

## Complete if Known

Application Number	
Filing Date	December 18, 2000
First Named Inventor	Scott E. Budge; Qun Gu
Examiner Name	
Group Art Unit	
Attorney Docket No.	4202.1

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 20-1469

Deposit Account Name: Trask Britt

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

1. BASIC FILING FEE									
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)
101	710	201	355	Utility filing fee			355		
106	320	206	160	Design filing fee			0		
107	490	207	245	Plant filing fee			0		
108	710	208	355	Reissue filing fee			0		
114	150	214	75	Provisional filing fee			0		
SUBTOTAL (1)			(\$)		355.00				

2. EXTRA CLAIM FEES

Total Claims: 25  
Independent Claims: 8  
Multiple Dependent: 0

Extra Claims: 20\*\* = 5 x 9 = 45  
- 3\*\* = 5 x 40 = 200  
Multiple Dependent: 0 = 0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid					
103	18	203	9	Claims in excess of 20				
102	80	202	40	Independent claims in excess of 3				
104	270	204	135	Multiple dependent claim, if not paid				
109	80	209	40	** Reissue independent claims over original patent				
110	18	210	9	** Reissue claims in excess of 20 and over original patent				
SUBTOTAL (2)			(\$)		245.00			

\*for number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

3. ADDITIONAL FEES									
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)
105	130	205	65	Surcharge - late filing fee or oath					
127	50	227	25	Surcharge - late provisional filing fee or cover sheet					
139	130	139	130	Non-English specification					
147	2,520	147	2,520	For filing a request for ex parte reexamination					
112	920*	112	920*	Requesting publication of SIR prior to Examiner action					
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action					
115	110	215	55	Extension for reply within first month					
116	390	216	195	Extension for reply within second month					
117	890	217	445	Extension for reply within third month					
118	1,390	218	695	Extension for reply within fourth month					
128	1,890	228	945	Extension for reply within fifth month					
119	310	219	155	Notice of Appeal					
120	310	220	155	Filing a brief in support of an appeal					
121	270	221	135	Request for oral hearing					
138	1,510	138	1,510	Petition to institute a public use proceeding					
140	110	240	55	Petition to revive - unavoidable					
141	1,240	241	620	Petition to revive - unintentional					
142	1,240	242	620	Utility issue fee (or reissue)					
143	440	243	220	Design issue fee					
144	600	244	300	Plant issue fee					
122	130	122	130	Petitions to the Commissioner					
123	50	123	50	Processing fee under 37 CFR 1.17(q)					
126	180	126	180	Submission of Information Disclosure Stmt					
581	40	581	40	Recording each patent assignment per property (times number of properties)			40		
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))					
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))					
179	710	279	355	Request for Continued Examination (RCE)					
169	900	169	900	Request for expedited examination of a design application					
Other fee (specify)									
SUBTOTAL (3)			(\$)		40.00				

\*Reduced by Basic Filing Fee Paid

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Paul J. Westreich	Registration No. (Attorney/Agent)	44,983
Signature		Telephone	801-532-1922
		Date	12/18/2000

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